

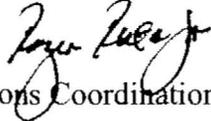


# Homeland Security

October 14, 2008

MEMORANDUM FOR: Joe Rozek  
Chair, Homeland Security Information Network Advisory  
Committee

Barry Lindquist  
Vice Chair, Homeland Security Information Network Advisory  
Committee

FROM: Roger T. Rufe, Jr.   
Director for Operations Coordination and Planning

SUBJECT: Homeland Security Information Network Advisory Committee  
Recommendations

The Office of Operations Coordination and Planning (OPS) welcomes the opportunity to respond to the second set of recommendations developed by the Homeland Security Information Network Advisory Committee (HSINAC). These recommendations will be submitted to the Secretary, for his consideration, along with the recommended courses of action developed within OPS. In order to ensure the Committee is fully up to date on the progress of the Next Generation of the Homeland Security Information Network (HSIN NextGen), I am scheduling a monthly conference call. The first call is scheduled for Monday, 20 October, from 3:30- 4:30 EDT. An agenda for this call will be provided separately.

OPS and the HSIN Program Management Team are focused on providing a secure, reliable and trusted information sharing and collaboration portal for Sensitive but Unclassified (SBU) information for use by the Department of Homeland Security (DHS) and non-DHS partners engaged in preventing, protecting from, responding to, and recovering from all threats, hazards, and incidents within the authority of DHS. It is important to understand that HSIN NextGen is a software upgrade to the current HSIN technology platform rather than an acquisition of a replacement system. The software upgrade will accommodate the growing cyber security, standards, and interoperability needs of HSIN users. Upgrading HSIN will address the needs of the current users and provide a robust and trusted foundation that can be adjusted over time to meet the evolving information sharing requirements of the HSIN Communities of Interest (COIs).

Before responding to specific issues and recommendations within the HSINAC letter, let me first address your Conclusion paragraph on the second page of the letter. The Department's current methodology to upgrade the HSIN software will result in an effective and efficient information

sharing and collaboration portal. This approach, through the award of the HSIN software upgrade contract, has already reduced the mandatory expense of operations and maintenance for HSIN. Savings derived will support increasing the HSIN Outreach resources to support direct customer communications, training and awareness. This addresses recommendations from the HSINAC, Congress, the Government Accountability Office, and the DHS Inspector General.

In addition, I have agreed to accept offers to engage with the Commonwealth of Virginia, State of Tennessee, and the State of Florida to develop a cohesive mission integration strategy and deployment on HSIN. The mission integration strategy will allow DHS to engage with the operational users to understand their mission and business processes. This approach will be agreed to by the States and DHS with high-level support from both. OPS will be working with the designated representatives within State, Local, Federal and Tribal governments and the Private Sector.

The assertion made by the HSINAC that HSIN is a duplicative and redundant system is faulty. HSIN is the designated target Sensitive but Unclassified (SBU) portal, not system, for DHS. The DHS Office of the Chief Information Officer (OCIO) is actively taking steps to make that designation a reality. As we prepare to migrate users from any particular community, our mission integration strategy will identify and consider operational ramifications of other portals and systems on HSIN. Indeed, the engagements identified will result in the alignment or elimination, as feasible and if within DHS authority, of duplicative or redundant systems. Waiting until all requirements for all portals and systems have been identified and then aligned into an integrated architecture across all users and mission areas is not operationally practical.

The following responses address the recommendations:

**I. Issue: The HSIN Outreach (Mission Integration) initiative is immature and under-resourced based on the size of the partner/customer population and the initiative's stated goals.**

OPS concurs with the three recommendations addressed in Issue I. Furthermore, these recommendations validate conclusions and actions taken within OPS to strengthen the HSIN Outreach efforts. HSIN Outreach has been under resourced and understaffed in comparison to the magnitude of the mission. But, the view of the HSINAC reflected in the recommendations does not recognize the funding requests that have been submitted or the mission integration process that was presented to the HSINAC. The Outreach Team is currently moving forward with mission integration engagements. The HSIN Outreach Team has begun the engagements with the Commonwealth of Virginia, and the State of Tennessee, with additional engagements being planned with the State of Florida and the DHS National Operations Center (NOC). Working closely with operational personnel, the Department will be able to further understand the information sharing needs of the entities and aid in supporting the homeland security mission.

**Recommendation 1: Conduct an immediate manpower survey of the outreach initiative to determine the staffing requirements needed for the successful implementation of the outreach initiative based on the articulated mission, business processes and HSIN implementation timeline**

As briefed to the HSINAC, an analysis of the manpower needs and requirements necessary for a strengthened outreach effort has been conducted by the HSIN Program Team. The results of this analysis were used to support a request for additional funding, beyond the current planned HSIN investment, to support an enhanced outreach effort. This funding request has been included in the proposed submission for the Department's fiscal year 2010 (FY2010) budget.

**Recommendation 2: Once manpower requirements are determined, the Outreach Initiative team should be immediately and adequately resourced before further development of any HSIN Next Generation spirals**

OPS and the HSIN Program Team fully understand additional resources are needed immediately to support Outreach efforts. OPS has identified savings due to the award of the HSIN NextGen contract. This surplus will be redirected to enable the HSIN Program to increase HSIN Outreach to support direct customer communications, training and awareness in FY2009.

**Recommendation 3: Review and adjust the current HSIN Next Generation implementation time line to reflect proactive and timely input from the outreach initiative of external partner/end user requirements prior to development and implementation of the various spirals. Further development of the HSIN Next Generation spirals on the current accelerated time line may not meet the needs of the end users or DHS.**

Future Phases of the HSIN upgrade will create improved versions of HSIN based upon continued input from HSIN users. Currently, and moving forward in future Phases, improvements to HSIN have been and will continue to be driven by the input of Federal, State, local, private sector, and tribal users with each Phase improving upon the last. We anticipate that once HSIN users have a chance to understand and use upgraded HSIN capabilities, they will suggest additional improvements or enhancements. These requests will translate into requirements to be submitted into the HSIN change management process and then incorporated into subsequent phases. OPS is continually assessing the progress of the Phases and will extend the timeline if prudent.

**II. Issue: The Current HSIN outreach (Mission Integration) initiative and implementation process focuses on a national platform that has states grouped into regions and communities of interest (i.e. HSIN NextGen Critical Infrastructure Spiral One) rather than a representative sample based on end user and DHS defined business processes and operational needs.**

HSIN supports multiple missions across multiple entities. OPS will continue to have Mission Advocates (MAs) represent all States and regions with current users to address questions and/or issues as they arise. These identified regions align to the DHS Fusion Center Regions identified by DHS Intelligence and Analysis (I&A). It is also important to create constant relationships, through the MAs, for these regions and States, to understand their needs and associations they have developed, such as Southern Shield. Southern Shield includes Texas, Oklahoma, Louisiana, Mississippi, Alabama, Florida, Tennessee, Kentucky, South Carolina, North Carolina, Virginia, West Virginia, and, Georgia. There will also be Communities of Interest (COI) that require direct

outreach efforts, such as Critical Sectors and HSIN Intel, due to well defined governance structures. The HSIN Outreach team will work directly with the representatives that are responsible for managing and communicating with these COIs. In addition, OPS recognizes that different Federal, State, regional, and local entities engage based upon which mission is the priority and at what stage of the effort (Awareness, Prevent, Protect, Respond, Recover). OPS anticipates the need to integrate user entities other than those stated.

**Recommendation 1: DHS should consider modifying its current regional outreach initiative and entire community of interest spiral implementation approach to targeting a representative sample/subset of a region (one or two States in a region as listed in the Mission Advocate diagram) or community of interest in order to more efficiently use its limited resources for targeted outreach, design processes of information flow across different communities of interest in a region, develop a proof of concept and implementation of a pilot program in an orderly, methodical manner ensuring the continuous incorporation of lessons learned into HSIN Next Generation, and the subsequent expansion to a greater audience with a proven solution that truly incorporates partner input and results in greater partner acceptance and use of HSIN Next Generation.**

As previously stated, the mission integration engagements will elicit understanding of operational and business processes from the operator level. This allows the Outreach team to document how and why operators use HSIN or other tools for sharing relevant mission information. Use cases developed from these engagements will be mapped to the current functional requirements. As new functional requirements emerge, they will be submitted into the HSIN Change Management Process. The HSIN Program Team is evaluating alternatives for the implementation plan for the upgrades to the HSIN software. This includes extending timelines or stopping phases of the upgrades based on new requirements or lessons learned gathered from the mission integration engagements. The current approach for the HSIN software upgrade is flexible and sustainable and does address the HSINAC recommendation.

**III. Issue: HSIN NextGen lacks a full articulated business strategy with prudent management controls that would significantly contribute to the successful development and implementation of this critical project.**

HSIN Program Management is in the process of outlining the HSIN business strategy that will be integrated into the revised HSIN Concept of Operations (CONOPS). The plan builds off the original HSIN CONOPS and aligns with the latest HSIN mission needs statement and HSIN authority documents such as the DHS Information Sharing Strategy, National Response Framework and the National Infrastructure Protection Plan.

Significant progress has been made to strengthen the management controls, primarily, through the acquisition of the HSIN NextGen contract. Some management control achievements include HSIN being removed from the Office of Management and Budget Management Watch List, receiving all green scores for FY2010 business case submissions (Office of Management and Budget 300s), achieved the second highest score, 3.5, on DHS Enterprise Data Management Office

scorecard, and received an “A” for the Federal Information Security Management Act rating for HSIN; (first time the program has received this rating).

**Recommendation 1: Develop and articulate written business policies, processes and operational requirements that are representative of Federal, State, Local, Tribal and Private partners needs that will drive the development and implementation of the HSIN Next Generation business/implementation plan**

An objective of the mission integration engagements is to understand the standard operating procedures and business processes of HSIN partners. Outcomes of these engagements, lessons learned, assessments of current operations, and alignment to HSIN capabilities, will have a direct impact on future phases of the implementation plan for the HSIN software upgrade.

**Recommendation 2: Develop a comprehensive, cohesive, written, vetted business/implementation plan that defines the role of HSIN Next Generation with respect to other systems, identifies and vets user requirements, establishes a judicious implementation methodology, incorporates user guidance, contains adequate performance measures and articulates risk assessment and mitigation procedures for use in the development and implementation of HSIN Next Generation**

As stated earlier, the HSIN Program Management Team is evaluating alternatives for the implementation plan and rollout of the software upgrades to support the current HSIN user community. The HSIN Program Risk Management Plan documents the requirements gathering, vetting, and prioritization process. The HSIN NextGen vendor will adhere to their CMMI approved requirements management processes to track functional requirements through to implementation and user acceptance.

**Recommendation 3: Develop the first draft of the HSIN Next Generation business/implementation plan within 90 days of these recommendations and provide the draft plan to the HSINAC for independent review prior to finalization and publication. Provide the HSINAC subsequent draft updates to the business/implementation plan for independent review as necessary prior to implementation of those updates.**

OPS and the HSIN Program Management Team will provide the implementation plan within 90 days of the recommendations.

**Recommendation 4: Immediately determine membership and manpower requirements for all the various organizations and committees used to support HSIN Next Generation, and then fully staff these organizations/committees before further development of any HSIN Next Generation spirals. (One example is the implementation of a HMCC with approved State and Local representation for the requirements vetting process for the next spiral development)**

OPS must continue to move forward with providing a secure and interoperable portal that fulfills the requirements already gathered and vetted. DHS has sufficient governance to move forward

with the software upgrade for HSIN. The HSIN governance structure continues to evolve to guarantee that all stakeholders are involved and user requirements are accurately captured, vetted, managed, and implemented. The HSIN governance structure allows HSIN program resources to engage with mission leaders from all missions to determine how HSIN can support their mission, and if so, to identify mission requirements and determine how HSIN can meet those requirements in a timely, cost effective manner. OPS is working with a number of DHS Components and Offices to identify the appropriate personnel to participate in the HSIN governance. They will focus on prioritizing the operational needs that HSIN must address in order to ensure HSIN is supporting all information sharing mission needs. Should any conflicts be encountered during the customer engagements, OPS and the HSIN Program Team will adjust the software upgrade as necessary.

**IV. Issue: HSIN Next Generation lacks interagency coordination and cooperation; a cohesive implementation plan; and a fully implemented end user requirements generation and validation process.**

OPS disagrees with the HSINAC statement that there is lack of definition for HSIN that causes confusion with other Federal systems. The mission of HSIN is to support information sharing and collaboration across a number of functional areas including Law Enforcement, Incident Management, Emergency Management, Critical Sectors, and more. Almost all other Federal systems have a single focus, such as Law Enforcement or Intelligence. The software upgrade to HSIN will ensure that HSIN is interoperable with these other Federal systems to support the information sharing needs of the HSIN users.

New capabilities for HSIN will be rolled out as appropriate in concert with the development of the shared segment architecture between DHS, the U.S. Department of Justice (DOJ), the Director of National Intelligence (DNI), and the U.S. Department of Defense (DOD). This effort will be aligned to the Information Sharing Environment (ISE) architecture framework and the DHS Information Sharing Segment Architecture (ISSA). A shared segment architecture consists of all architecture layers necessary to address performance, business, data, systems, and technologies to be included. The success of HSIN benefits from a well articulated plan to ensure the Federal interactions with State and local entities on SBU networks are agreed upon, and endorsed by the DHS Information Sharing Governance Board (ISGB).

**Recommendation 1: The White House Homeland Security Council, the Secretary of DHS, the Attorney General and the Director of National Intelligence should meet to resolve and lay out the strategy for merging/eliminating redundant domestic intelligence and information sharing systems and to establish a deep and trusting relationship between DHS, DOJ and the ODNI PM-ISE. At a minimum quarterly in-progress reviews should be provided to this Principals group on the implementation of their guidance by a Deputies Committee or a Policy Coordination Committee. Anything less than Principal involvement will result in more of the same**

The PM-ISE is the leading the effort to develop an information sharing shared segment architecture between DHS, the U.S. Department of Justice (DOJ), the Director of National Intelligence (DNI), and the U.S. Department of Defense (DOD). The DHS lead is I&A

Information Sharing and Collaboration Branch. OPS participates in the DHS Information Sharing Governance Board (ISGB) and the Information Sharing Coordination Committee (ISCC) which support the definition of information sharing policy and standards for DHS. Through the ISGB and ISCC, OPS can provide these recommendations for their review.

**Recommendation 2: The Secretary of DHS should meet with DHS Principals to resolve and lay out a strategy for merging/eliminating redundant DHS intelligence and information sharing systems. At a minimum quarterly in-progress reviews should be provided to the DHS Secretary on the implementation of his guidance by DHS Principals. Anything less than Principal involvement will result in more of the same**

The DHS OCIO has initiated the Portal Program Office which will manage the Portal Consolidation effort. The effort is focused on consolidating DHS Portals, Internets, Intranets, SBU, and Classified. HSIN has been identified as the target portal for SBU. OPS supports the Portal Consolidation effort and will be working with DHS OCIO once they have development transition plans for the SBU Portals.

**Recommendation 3: The outreach initiative needs to be immediately and fully resourced and implemented to gather and vet user requirements upon which HSIN Next Generation should be developed**

Funding in FY2009 will begin to enhance the Outreach effort. In addition, a funding request has been submitted as part of the FY2010 budget,

**Recommendation 4: Technical and operational fixes to the current HSIN system should be made as a stop gap while developing a plan to implement HSIN Next Generation**

As stated earlier, the upgrade of HSIN software is under way. The first phase of this effort was completed on August 25, 2008, to respond to HSIN-CS priority requirements. Implementing the HSIN-CS priority requirements at the earliest moment was an absolute necessity to avoid mission degradation and loss of the voluntary participation of the 18 infrastructure sectors. OPS will continue to update software as needed to ensure security and interoperability.

**Recommendation 5: No further funds should be expended for HSIN Next Generation except for the development and vetting of a cohesive business plan and implementation of a sound requirements generation and vetting process until the above deficiencies are rectified.**

OPS is unable to comply with your request to not expend funds on the software upgrade of HSIN. An interruption of the HSIN NextGen project would degrade DHS's ability to perform its homeland security mission and jeopardize the established relationships with our Federal and non-Federal partners. A delay in the HSIN NextGen project would dramatically impede a significant information sharing and collaboration capability.